

# **REQUEST FOR QUALIFICATIONS**

**THE INDIANA FINANCE AUTHORITY**  
**Is Requesting Qualifications For**  
**Custom Software Application Development**

**RESPONSES ARE DUE TO THE**  
**INDIANA FINANCE AUTHORITY BY**

**June 18, 2010**  
**4:00 P.M. (E.D.T.)**

## **INTRODUCTION**

This Request for Qualifications (“RFQ”) is issued by the Indiana Finance Authority (the “Authority”) for the development of custom software applications to benefit the Authority’s State Revolving Fund Loan Programs (“SRF Programs”) and Indiana Brownfields Program (“Brownfields Program,” collectively with the SRF Programs referred to herein as the “Environmental Programs”). The intent of this RFQ is to request technical qualifications from qualified software developers (the “Respondents”) interested in developing custom software applications to support the technical and financial activities of the Authority’s Environmental Programs.

This RFQ is open to all parties capable and qualified to meet the objectives and requirements described in this RFQ. The Authority’s Environmental Programs have similar tasks with varying levels of computer software applications to aid in the organization and tracking of tasks and funds. The Authority is in need of a more robust, uniform, centrally managed and dynamic software application to track their programs.

Upon receipt, all RFQ submissions will be reviewed for completeness in accordance with the threshold and selection criteria contained in Section V of this RFQ. If threshold criteria are satisfied, the Authority will assess each Respondent’s qualifications based upon the selection criteria set forth in Section VI. Responses that meet the threshold and selection criteria set forth below will be evaluated to satisfy the Authority’s expectations with respect to the development of the needed custom software applications.

### **I. CONFIDENTIAL INFORMATION**

Respondents are advised that materials contained in qualifications are subject to the Indiana Public Records Act, IC 5-14-3 et seq., and, after the contract award, may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the Indiana Public Records Act must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked “Confidential” and must indicate in the transmittal letter and on the outside of that envelope that confidential materials are included. The Respondent must also specify which statutory exception provision applies. Authority reserves the right to make determinations of confidentiality. If The Authority does not agree that the information designated is confidential under one of the disclosure exceptions to the Indiana Public Records Act, it may reject the RFQ submittal from being considered and return the qualifications to the Respondent. The Authority will not determine compensation to be confidential information.

## **II. SCOPE OF WORK**

### **Reference List (acronyms):**

AA – Administrative Assistant

ARRA – Funding Source, Stimulus money

BONY – Bank Of New York

BF – Brownfield's

CW – Clean Water

DW – Drinking Water

EPA – Environmental Protection Agency

IFA – Indiana Finance Authority

Information Worker – Staff, Employee, Contactor, someone who is using the system

IOT – Indiana Office of Technology

PA – Program Administrators

PER – Preliminary Engineering Report

Participant – Community, Customer, Client, Prospect, End User

SRF – State Revolving Fund

Staff – IFA / SRF Employee, contractors

Vendor – Respondent selected by the Authority to implement software solution

The proposed scope of work to be provided by the Vendor is to be performed only upon the specific direction of the Public Finance Director of the State of Indiana or her designee. The Vendor will be expected to work closely with Authority Staff, Indiana Office of Technology staff, and any other person(s) or officials deemed necessary by the Authority including third party vendors and or Authority business partners.

The Vendor will be expected to perform a variety of services including, but not limited to the following to support the business requirements / scope of services:

- Timeline and Budget Management / Reporting
- Business Requirements Review and Project Planning
- Phase Reviews and Regular Progress Reporting
- Project Management
- Software Development
- Application Lifecycle Management
- Software Testing and Compliance
- End User Training
- Documentation

## A. Summary Requirements

The Authority is seeking an application development company, with a financial and lending foundational background, to develop and build a custom application to facilitate in the loan and project data collection, information management, tracking, auditing, reporting, and automation of processes related the various lending and project management function of the Environmental Programs. The Authority is seeking a feature rich web centric solution that will enable the end-users (Staff and Participants) broader control over their current, non-centralized (non-database), applications which will allow increased productivity and allow Environmental Program management more efficient oversight.

## B. Primary Functionality:

1. **Online Form(s)** – Forms such as the program specific application must offer a web based front end; whereas, the application is available from an internet web browser for use by internal and external users. The online application process must allow external users, from within a public space, to request the ability to a fill out program specific applications online.
2. **Microsoft Office Integration** (Outlook, Word, Excel, Access) – Application must integrate with Microsoft Office suite products. Reports that are created for export will be in the format of excel, word, access, and or PDF.
3. **Central Dashboard Management** (KPI Reporting) – a dashboard presence is desired to collect and present information, from multiple areas of the application, in this central location.
4. **User Security Management** – user security to various areas of the application is key to the overall security of the application. Users must be restricted by areas. Individual and group security accounts are also desired.
5. **Electronic Signature** – electronic signature capability is desired as a means to allow one to sign documents digitally and or electronically. A batch signature process is also desired; whereas, one can apply or assign their signature to one or more documents at a time – like a batch process.
6. **Contacts Management** – all internal and external contacts, participants, contactors, counsel, etc., need to be centrally managed and easily accessible throughout the system.
7. **Communication Tracking Module** – emails, notes, and letters that are exchanged with Participants, contractors, and other contacts need to be tracked.
8. **Compliance Module** – a process for collecting and maintaining compliance information for reporting to the EPA. This information will be automatically submitted to the EPA for retention.
9. **Funding / Source Tracking** – a method for tracking all funding sources.
10. **Notes / Messaging Tracking** – a method for issuing, editing, and tracking notes about a contact, loan, project, task, etc. is required.
11. **Letters, Addendums, Notices Management** – a central location to manage all letter templates and an area to create and issue letters is required.
12. **Customer Portal** (Participant Status) – a web interface permitting Participants/customers to create an application and review project milestones and status, communication, and notes as well as the ability to upload/download related documents.
13. **Application Management** – an online application submission and tracking solution. The online application process must allow users to request the ability to fill out program specific applications online.

14. **Task Assignment Management** – a module that will allow a task be assigned to Staff, Participant, etc. The idea with assigning tasks is to track what and when project milestones are required to be completed.
15. **Project(s) Tasks Management** – a module that will allow a project manager to track the status of all projects with the ability to quickly search active and non-active projects. Projects and tasks can be assigned to one or more individuals.
16. **Environmental / Technical Review Process Tracking** – a module that will allow staff members to track and manage Environmental and Technical Review processes. By default this module should list all projects and processes assigned to the active user.
17. **Bid Process Tracking** – this module will track bids by project(s). The module will track the bid information, such as which contractor(s) the bids were sent to by project. This module should allow staff to assign bid requests to participants and or contractors and keep track of the deadlines assigned accordingly.
18. **Construction Management** – a module that will track projects, change orders, construction schedule (start and end dates), site visits and or inspections, basic loan (totals) timeline information. This could include collecting information from Staff and posting on a calendar and task assignments.
19. **Change Orders Management** – a module to issue, collect, and track change order requests.
20. **Loan Consolidation** – a module to close out one or more loans and roll them into a new loan.
21. **Loan Closing Management** – a module to track loan closings along with loan requirement information. This information should be reflected on a closing calendar. A closing summary report is required that will show the loans, closing dates, and should have the ability to post to a calendar.
22. **Loan and Project Tracking** – a module that gives an overview of all loans and projects.
23. **Loan Review Module** – a central location to review loans by program, type, participant, size, date and funding sources.
24. **Amortization Schedule Management** – a central loan repayment schedule generator module is required. The amortization schedule must be flexible and exportable.
25. **Disbursements Management** – a module that will allow the disbursement coordinator to enter, process, transmit, issue, review, validate, and report on disbursements. This module should have the ability to collect a disbursement request from both internal and external sources.
26. **Automatic Funds Transfer** – a module that will issue disbursement requests to the lending institution (currently the Bank of New York) and will then validate the funds were issued as scheduled.
27. **Collections Management** – a module that will track loan balances and issue tasks for staff to follow up with the Participant. This process should have the ability to issue an email or letter automatically with repayment and collection information.
28. **Reporting** – Standard, Statistical Analysis, Historical Loan and Project Information, and Customizable – a report module is key to managing all programs, loans, and projects. All canned reporting should be easy to generate and customize. Reports should be exportable via PDF, Excel, etc.
29. **Regulation Tracking (EPA)** – a module that will allow Staff to track loan and project related items that are required for regulation compliancy. Such items are project items that are “green or energy efficient”.
30. **Process and Work Flow Management** – a module that will allow simple work flow management. Workflow management is key to streamlining processes and reducing idle time between processes, tasks, etc.
31. **Robust Audit Trail Management** – a module that will allow Staff to review loan or project history, including detailed information about tasks completed and the identification of staff involved. The most important item for tracking is loan history, project history, and disbursements.
32. **Data Import/Export** – Third party data exchange (EPA, BONY) – a module that will collect and prepare data for exchange between third party applications such as BONY, EPA, etc. Regular uploads of information is needed to send to other agencies for reporting.

### **C. Assumptions:**

1. **Application Framework** – Software application must be fully web enabled for use by internal and external users.
2. **Documentation** - Any and all necessary software, middle wear applications, and documentation for complete site recovery will be provided by Vendor. This documentation will describe in detail all necessary information about the new application solution that would be necessary to rebuild and or recreate the environment for testing and or disaster recovery. The documentation must not exclude any custom functions, processes, compiled and or un-compiled source code, site setup information, database setup information and all system administration access accounts.
3. **No Vendor Branding** – zero Vendor product branding will be permitted for any and all custom software applications, processes, notes, etc.
4. **Vendor Project Manager** – Vendor will assign, for the life of the project’s implementation, a full time and readily available project manager for any and all interactions with Authority. Such project manager must reply in a timely manner.
5. **Phase Reviews** – phase reviews are important and must be implemented and updates will be distributed during project status meetings.
6. **Project Status Meetings** – weekly progress meetings are to be conducted between Vendor and Authority Staff, an informal progress overview is necessary.
7. **Source Code and Application Ownership** – all source code (scripting, functions, processes, design methodology, form layout, site layout, modules, work flows, and overall design and functionality) ownership (100%) will be retained by Authority) and zero ownership (0%) will be retained by Vendor. Upon project completion Vendor will not retain any of the above source code for any non Authority support purposes.
8. **Training** – will be required by the Vendor from the discovery through post implementation processes.
9. **Vendor Project Members Communication Access** – An Authority project implementation team will be setup between Vendor and Authority, and bidirectional availability is required. Ready access, not to exceed one business day, to Vendor and their staff will be required during normal business hours. In the event the Vendor project manager or key stake holder(s) are not available, Vendor must assign someone to answer Authority and or third party questions and or concerns in a timely manner, not to exceed one business day.

#### **D. Primary Processes, Functions, and Modules:**

1. **General Dashboard Summary Process** – this page should give a snap shot of what is going on within all programs. Applications, Loans, Programs, Projects, Disbursements, Statistics.
  - Applications – Open/Closed, Denied/Approved in the last month, quarter, and year.
  - Loans – Open/Closed summaries, application to closing average time (in days) current quarter, prior quarter, prior year, etc.
  - Closing – what is closing in the next 30, 60, 90, 180 days with loan summary totals.
  - Projects – Open Projects, Open Bids, Environment Review, Technical Review
  - Funding Sources – list fund sources - totals, allocation, etc.
  - Disbursement – disbursement summary by week, month, and quarter
  - Statistics – list cost savings for using SRF verses open market programs by quarters and annually. Pull in PA work load stats. Could post survey information on this page as well.
2. **User Security Management** – end user security management.
3. **Contact Management Module** – all contacts (including participants, contractors, communities, etc) to be managed in one central location (MS Outlook would be desirable) and must be able to quickly lookup, filter and sort contacts.
4. **Projects Management Module** – setup projects, Staff assignment, tasks, notes, costs, regulations tracking, by loan.
5. **LAN (Letters, Addendums, Notices) Template Module** – create templates (general letters, addendums, notices, PER, DSR, etc) and store in a central location for access and management. Templates must be editable. Templates will be used throughout the system and will need to pull in related information before being sent to end user.
6. **Letters, Addendums, Notices, Paying Agent Agreements Generation Process** – generate letters. Via Email, USPS, other. Email should go out immediately, other forms should be sent to a batch process for AA to completion.
7. **Loans Generation Module** – establish new loans and associated amortization tables, payment terms, etc... Track and manage loans - funding, amortization schedule.
8. **Forms / Files Generation Process** – send forms (documents, etc.). Requested items should queue up for daily batch distribution and assigned to AA for completion.
9. **General Notes Process** –add notes / information to loan, projects, disbursements, etc. May need a priority solution for sending a note to assigned Staff and or contacts or on screen heads up display for “Important / Alert” information. (TBD)
10. **Requirements / Regulations Process** – tracking for special requirements will be necessary. From time to time Authority has to track regulation information and must be able to report on accordingly. Right now “Green” tracking happens. This is tracked at the project line item level and preapproved by program administrator; also reviewed during disbursement process.
11. **Compliance Process** – A133 Federal Compliance Report and Internal Control Reporting
12. **Reports & Letters Auditing Process** – all reports, data, etc. must be tracked for audit/reporting purposes. When a report, file, or data is created it must be logged for audit trail and reporting purposes. (Communication Tracking Module)

13. **Email Generation Process** – emailing information such as reports, processes, notes, etc is required. This information must be tracked for audit/reporting purposes. (Communication Tracking Module)  
Current E-Mail platform is Microsoft Exchange Server.
14. **Workflow Management** – workflow integration for automation of processes will be required.
15. **Central Administrative Assistant (AA) Management Module** – AA should be able to manage general tasks like processing items generated for distribution. AA should be able to conduct batch processing for printing letters and mailing.

## **E. Primary Process Overview**

### **1. Application:**

- a. Application Online Submission Process – this process should afford Staff and non Staff (public) personal the ability to submit a loan application online with submission completion notification.
- b. Application Validation Process – this process should allow Staff (Program Administrator) to validate and collect information from the Participant to complete the application process. Create workspace for Participant. Projects should be created here. All correspondences should be tracked and available for reporting. Once application is accepted, PA will setup a new project.
- c. Application Notification Process – notify Participant via letter that application has been approved.

### **2. Projects:**

- a. General Project Summary Process – list all projects with project status, contacts, notes, community history, timeline, etc. Show all projects by default (assigned to current user). Allow all records filtering.
- b. Project Management Process – used by Program Administrators to manage projects. They must be able to view all open projects, assign project tasks to Staff. Manage PER process.
- c. Project Scoring and Ranking Process – Staff must be able to rank and score loans/projects for funding, forecasting, and eligibility.
- d. Project PER Tracking Process – Staff (technical and environmental) must be able to track process of projects through each step during the PER process.
- e. Project EA / CA Process – Staff will need to track the status of all projects, track communication, issues, dead line information.
- f. Project Compliance Process – be able to send compliance letters. (LAN Process)
- g. Project Bid Tracking Process – be able to issue, track, and manage bids. Track communications.
- h. Project Change Order Process – must be able to log, track, and manage change orders - including track communication, approvals, letters, and notice to proceed. Give to PER reviewer to determine eligibility. Must be able to send change order letters – denied, approved, notice to proceed.
- i. Project Contract Awards Process – list all contracts and award information.



### 3. **Loans:**

- a. Loan Application Eligibility Process – Staff must be able to automate applications eligibility.
- b. Loan Projects Management Process – allow Staff to add projects. (Projects might be funded from more than one funding source and or loan).
- c. Loan Program Administrator (PA) Application Assignment Process – this process should allow Staff to setup and track projects. Staff will need to be able to assign Staff, i.e., engineering/technical Staff, to projects.
- d. Loan Application Supporting File/Documentation Process – this process should allow the Participant to upload files and attach them to the application being processed. This might be where we use workspaces. Further information is requested of Vendor to discuss options.
- e. Loan Status Process – this process needs to allow Staff to update loans as they move through each phase (from Submission, Review, PER, Finance, Closing, Repayment, etc.)
- f. Loan Servicing Process – send account summary information to Participants by predefined schedule (monthly, quarterly, annually). Allow email enabled accounts to be generated automatically, but batch up USPS for AA.
- g. Loan Paying agreement Schedule Review Process – this process should allow a third party Vendor or a bank, to submit electronically a weekly/monthly summary of account activity. The activity report will include the payment information from the Participants, to include the accounts (P&I), the funds we disbursed into. Then we need to validate this information against the paying agreement schedule.
- h. Loan Program Cost Saving Process – capture current open market loan information. This information is for reporting on cost savings when using customer loan programs. Allows for statistical information for marketing/management.
- i. Loan Origination for Construction Process – allow current review of all construction loans. This should be configurable by Staff to suit each loan to borrower's requirements.
- j. Loan Closing Management – allow Staff to setup loan closings and schedule closings with Participants.
- k. Closing Schedule Process – track and manage loan closings – (Calendar view Option).

### 4. **Disbursements:**

- a. Disbursement Overview Process – Dashboard showing correspondence between Bank and Borrowers.
- b. Disbursements Process – collect and manage disbursement requests. Assign tasks to Staff for input and or review. Track and manage disbursement issues.
- c. Disbursement Approval Process – oversight and approval process for disbursement requests must be signed off by management. Auditing is required.
- d. Disbursement Transmission Process – transmit disbursement requests to the bank and validate they were received. AHC or EDI Process needs to be determined.
- e. Disbursement Issued Process – work with third party, currently Bank of New York, Vendor on solution for transmitting received and issued disbursements. Currently a spreadsheet sent weekly of what was issued and what accounts were used must be reviewed for completeness.
- f. Compliance Process – validate funding of disbursement requests.

- g. Accounts Management – a module that allows account management and overview of all accounts.

## 5. **Finance:**

- a. Financial Overview Dashboard – allow Staff to monitor current status of all loans. Provide loan information and funding information.
- b. Funding Source Process – create, track, and manage funding sources. (SRF, BF, ARRA, Supplemental Fund)
- c. Funding Bond Management Process – setup, manage, and track funding sources.
- d. Funding Special Tracking Process – ARRA money needs to be tracked.
- e. Amortization Schedule Process – Must be able to generate, track, and manage amortization schedules. Current formulas are developed and will need to be retained for backwards compatibility reasons.
- f. Amortization Schedule Module – schedules for all loans. Must be able to export or email.
- g. Disbursement Schedule Process – generate disbursement schedule on projects.
- h. Market Interest Rate Tracking Process – collect current open market interest rates. The goal is to show the cost of an open market loan compared to a SRF/ Authority loan program. Report(s) will be dependent on this process.
- i. Market Loan Tracking Process – this process should allow Staff to collect current information and bind to an application. The information should show loan savings for open market loans to program specific loans.
- j. Debt Service Reserve Validation Process – allow Staff to send letter(s) to Participants requesting balance of DSR account, review community bank statements, audit financial statements and loan closing transcripts to determine appropriate funding.
- k. Financial Participant Review Process – allow Staff to collect and review financial statements for those Participants that may receive a State Board of Accounts audit in prior year.
- l. Finance Participant Meeting Request Process – allow Staff to setup and track onsite meetings with Participants.
- m. Finance Paying Agent Agreement Process – allow Staff to ensure application loan Participant has funded both Bond & Interest accounts, and the DSR account to appropriate levels. Collect and update B&I and DSR account information and provide monitoring of monthly transfer schedules, sent currently by the BONY.

## **F. Primary Reports**

- 1. **Participant Report** – display all loans, projects, special funding, etc by Participant.
- 2. **Loan Application Status Report** – list all applications and their status - program, loan and project type, funding summary.
- 3. **Loan Application Summary Report** – must include applications status - submitted, accepted, rejected, accepted, assigned to, open or closed, and summary loan request information.
- 4. **Awarded Projects Report** – all projects, open/closed or date range, which has been awarded by loan and or project.

5. **PER Summary Report** – status of all projects in PER status.
6. **Environment Review Summary Report** – summary of all projects assigned to engineering, with task assignments.
7. **Technical Review Summary Report** – summary of all items undergoing technical review.
8. **Bid Process Report** – list status of projects out for bid, by project by consultant/primary contact.
9. **Bid Process Forecast Report** – summary of what is out for bid, by project, by contractor. This will be reflective of what is on the bid calendar.
10. **Projects Report** – display all projects. Allow filtering by project, community, date range, contractor.
11. **Projects Assignment Report** – list projects by assignee. When assigned and estimated completion date.
12. **Contractor Assignment Summary Report** – what is assigned to contractors with project breakdown
13. **Project Cost Summary Report** – what is the status of all projects and what are the total cost summary.
14. **Project Status Report** – snap shot of all projects and their status.
15. **Pre Loan Closing Report** – list pending loan closing by month, by program, by funding source, by totals.
16. **Closing Schedule Report** – list upcoming loan closing dates. Retain Closing information for historical reporting.
17. **Bond and Interest Report** – display bond and interest information breakdown.
18. **Disbursement Submission Requests Report** – display open disbursement requests. Allow filtering by contractor, project, etc.
19. **Disbursement Summary Report** – display disbursement information. Allow filter by date range.
20. **Disbursement Validation Report** – display disbursement information conduct by the bank.
21. **Funding Source Report** – list totals for all funding sources.
22. **Funding Summary Report** – list assigned funding sources, distribution breakdown, total amounts.
23. **Loan Activity Summary Report** – list current and or historical loan(s) activity by date range, by congressional district and or county. (Used when the major’s office wants to know what programs for an area – past and present.
24. **Bond and Interest Report** – snap shot of outstanding bonds, interests, etc.
25. **Special Funding (ARRA, OCRA) Reporting** – summary of what is allocated as ARRA / OCRA, what has been issued during selected periods.
26. **Awarded Projects Disbursement Breakdown Report** – list project payment breakdown.
27. **Participant Repayment Summary Report** – list repayment activity by loan, by project. Must be exportable.
28. **Loan Program Savings Report** – must be able to show programs savings for each loan. Compare market rates and program rates by loan and show the benefits of SRF programs.
29. **Board Meeting Project Summary Report** – collect and present data for board meeting planning.
30. **Vendor/Contractor Summary Report** – this report should list all awarded projects and project summary information.

**Note:**

1. All predefined (canned) reports must run quickly, parameters must allow custom filtering.
2. All reports must be exportable – saved to file (Excel, Access, PDF, or XLM), batched up for USPS, and sent by Email.
3. Data mining for custom reports is monumental. Must have easy to use custom report builder for all data.

**Additional Considerations:**

- Workspace Management Process – this process should allow Staff to create a workspace for Participants to upload, interact with, and see project information. When a workspace is created a letter should be sent to Participant with username and password. Participant account information should be allowed to be regenerated, via letter (email or hard copy). Build in a lost password notification that would send an email to assigned program administrator.
- Workspace Vendor Contact Management Process – allow Participants, via workspace, to update contact information. Actually send change request to assigned PA and allow change integration upon acceptance by PA – append to master contact file and log audit.

**III. TERMS, CONDITIONS AND EXCEPTIONS**

- A. This is a request for the submission of qualification, but is not itself an offer and shall under no circumstances be construed as an offer.
- B. Authority reserves the right to alter, amend, or modify any provision of this RFQ, or to withdraw this RFQ, at any time prior to the award of a contract pursuant hereto, if it is in the best interest of Authority to do so.
- C. Authority reserves the right to waive informalities and minor irregularities in qualifications received.
- D. Authority shall not be obligated to accept the lowest priced qualification, but will make an award in the best interest of the Authority after all factors have been evaluated.
- E. Any irregularities or lack of clarity in the RFQ should be brought to the Authority's designee's attention as soon as possible so that corrective addenda may be furnished to prospective applications.
- F. Qualifications must include any and all proposed terms and conditions, including, without limitation, written warranties, maintenance/service agreements, license agreements, lease purchase agreements and the applicant's standard contract language. The omission of these documents renders a qualification non-responsive.
- G. Authority has adopted many of the required State of Indiana contractual provisions. Authority hereby puts the applicant on notice that a successful award at the end of the process will be contingent upon the agreement to comply with these standard contractual provisions (such as a drug-free workplace certification, minority and women business enterprise compliance, non-discrimination certifications, licensing standards, certifications relating to HIPAA, certifications regarding telephone certifications, and certifications relating to State of Indiana ethics policies).
- H. Qualifications, which appear unrealistic in the terms of technical commitments, lack of technical competence, or are indicative of failure to comprehend the complexity of the contract, may be rejected.

- I. Respondents are prohibited from communicating with Authority Staff and or its assigned designee's until June 18, unless contacted by Authority and or its assigned designee's.
- J. Qualifications may be withdrawn by written or facsimile notice received prior to the qualification opening time.
- K. Each applicant must disclose any existing or potential conflict of interest relative to the performance of the contractual services resulting from the RFQ. Any such relationship that might be perceived or represented as a conflict should be disclosed. By submitting a qualification in response to this RFQ, applicant's affirm that they have not given, nor intend to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or services to a public servant or any employee or representative of same, in connection with the procurement. Any attempt to intentionally or unintentionally conceal or obfuscate a conflict of interest will automatically result in the disqualification of an applicant's qualification. An award will not be made where a conflict of interest exists. Authority will determine whether a conflict of interest exists and whether it may reflect negatively on Authority selection of an applicant. Authority reserves the right to disqualify any applicant on the grounds of actual apparent conflict of interest.
- L. Each applicant must include in its qualifications a complete disclosure of any alleged significant prior or ongoing contract failures, any civil or criminal litigation or investigation pending which involves the applicant or in which the applicant has been judged guilty or liable. Failure to comply with the terms of this provision will disqualify Respondent. Authority reserves the right to reject any qualifications based upon the applicant's prior history with Authority or with any other party, which documents, without limitation, unsatisfactory performance, adversarial or contentious demeanor, significant failure(s) to meet contract milestones or other contractual failures.
- M. Applicant understands and acknowledges that the representations above are material and important, and will be relied on by the Authority in evaluation of the qualifications. Any applicant misrepresentation shall be treated as fraudulent concealment from the Authority of the true facts relating to the qualification.
- N. The Authority may reject any or all submissions received in response to the request at any time prior to entering into a written agreement.
- O. In the event the party selected does not enter into the required agreement to carry out the purposes described in this request, the Authority may, in addition to any other rights and remedies available at law or in equity, commence negotiations with another person or entity.
- P. In no event shall any obligation of any kind be enforceable against the Authority and or its assigned designees unless and until a written agreement is entered into.
- Q. The Authority reserves the right to conduct personal interviews of any or all respondent's Staff or contractors prior to selection.
- R. In making the selection, strong consideration will be given to the respective fee quotations submitted. However, other factors to be considered include: experience of the company and the individuals assigned to the Authority's account, technical expertise, and performance in similar engagements.
- S. Each respondent agrees to bear all costs and expenses of its response and there shall be no reimbursement for any costs and expenses relating to the preparation of responses of qualifications submitted hereunder of for any costs or expenses incurred during the negotiations.

- T. By submitting a response to the request, each respondent waives all rights to protest or seek any remedies whatsoever regarding any aspect of this request, the selection of a respondent or respondents with whom to negotiate, the rejection of any or all offers to negotiate, or a decision to terminate negotiations.

#### **IV. RESPONSES**

On or before June 18, 2010, Respondents should submit **one original written response, three (3) paper copies, and one (1) electronic copy in PDF format on CD or DVD** to:

Indiana Finance Authority  
Mr. Rick Cass, Ms. Amy Henninger  
100 N. Senate Ave, Room 1275  
Indianapolis, Indiana 46204  
Mr. Cass (317) 234-3803 / (317) 697-5318, Ms. Henninger (317) 232-6566

In addition to hard copies (above), send an electronic copy in Microsoft Word 2003 format to:

E-mail: rcass@ifa.in.gov and ahenning@ifa.in.gov

Sealed qualifications will be received by The Authority at the address listed above until 4:00pm (EST) on June 18, 2010. Also an electronic copy of the qualifications must be submitted to rcass@ifa.in.gov by the same deadline above. RFQ's must be clearly marked on the outside of the package with the following descriptions:

“AUTHORITY Request for Qualification – Software Development”.

Qualifications that do not arrive by qualification closing time and date WILL NOT BE accepted for consideration. Applicants may submit their qualifications any time prior to the above stated deadline.

#### **Special Conditions for Qualifications:**

1. The Authority will not be held responsible for qualification envelopes mishandled as a result of the envelope not being properly prepared.
2. Facsimile, Electronic mail (E-Mail), or telephone qualifications will NOT be considered unless otherwise authorized; however, qualifications may be modified by facsimile, email, or written notice provided such notice is received prior to the closing of the qualifications.
3. For ease of elevation, the qualifications should be presented in a format that corresponds to and references sections outlined within this RFQ and should be presented in the same order. Responses to each section and subsection should be labeled so as to indicate which item is being addressed. Exceptions to this will be considered during the evaluation process. If the applicant wishes to provide other supplemental information, it should be segregated at the end and identified separately from the information requested.

4. Responses are limited to 18 pages; however, if completed responses cannot be provided within 18 pages please provide supporting documentation. Such documentation must be provided with the qualifications and include specific references to where the supplement information can be found.
5. Qualifications are to be prepared in such a way as to provide a straightforward, concise delineation of capabilities to satisfy the requirements of this RFQ. Expensive binding, colored, displays, promotional materials, etc., are not necessary or desired. Emphasis should be concentrated on conformance to the RFQ instructions, responsiveness to the RFQ requirements, and on completeness and clarity of content.
6. The individual(s) legally authorized to bind the applicant must sign the submitted RFQ material.

## **V. SELECTION PROCESS AND CRITERIA**

A selection committee will evaluate all responses. The purpose of this RFQ is to provide information that will allow the selection committee to evaluate the qualifications of prospective Software Development companies. After reviewing the RFQ's, the selection committee will prepare a list of final candidates to be interviewed if deemed necessary.

The selection committee will consider various factors when evaluating the RFQ's, including, but not limited to the following areas:

- Indiana business presence
- MBE / WBE firms
- Investment in Technology
- Service Pricing Model / Fees
- Qualifications' of Staff
- Prior Experience
- Individual and Firm Capability
- Professional Presence and Responsiveness
- Specific experience in proposed software application (Design/Deployed)
- References: Minimum list of 10 clients, 5 with proposed software solution.

## **VI. REQUIRED RESPONDENT INFORMATION**

- A. Authority requires a response to this RFQ that encompasses the following (at a minimum):
  1. Companies approach and/or methodology process to address the Scope of Services
  2. Companies proposed timeline with proposed phase reviews
  3. Companies proposed pricing with phase/project break down
  4. Companies procedures for change management
  5. Companies qualifications to provide required services
  6. Companies staff qualifications
  7. Company software development background and qualifications
  8. Companies Project(s) History and References

## B. COMPANY BACKGROUND

Please provide the following information:

1. Company ownership (list of all owners). If incorporated, the state in which the company is incorporated and the date of incorporation.
2. Location(s) of the company offices and location of the office servicing any Indiana Accounts.
3. Number of employees both in Indiana, nationally, and or abroad.
4. Location(s) from which employees will be assigned.
5. Name, Address, phone number(s), E-mail, and applicant's point of contact for a contract resulting from this RFQ.
6. Company background, with history, and why applicant is qualified to provide the services described in this RFQ.
7. Resumes of all key staff responsible for performing any and all work for Authority (including sub contractors).
8. MBE/WBE Entity – Are you registered with the state of Indiana?
9. Do you meet one of the following criteria? Responding yes to any of these is self certification that you fall into one of the following categories:
  - a. A business whose principal place of business is located in Indiana.
  - b. A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
  - c. A business that employs Indiana residents as a majority of its employees.
  - d. A business that makes significant capital investments in Indiana. Defined as Capital Investment of 5 Million and higher or Annual Lease Payments of \$ 2.5 Million and higher.
10. Name, title, telephone number, and E-mail address for 5 client references.
11. Client listing of all state or local clients of company (can be considered confidential).

## VII. TIMELINE

The following calendar will generally be followed. The Authority reserves the right to alter this calendar as it deems necessary.

April 30, 2010: Issue RFQ  
June 11, 2010: Questions / Answer forum  
June 18, 2010: Deadline for submission of Qualifications

***Note: These dates represent a tentative schedule of events. The Authority reserves the right to modify these dates at any time, with appropriate notice to prospective counsels.***